

**ONR BAA Announcement # N00014-18-S-B006**



**BROAD AGENCY ANNOUNCEMENT (BAA)**

**Naval Application of Machine Learning/Artificial Intelligence**

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## **I. OVERVIEW OF THE RESEARCH OPPORTUNITY**

This publication constitutes a Broad Agency Announcement (BAA) for awards by the ONR Contact and Grants Awards Management Division, ONR Code 25 (or otherwise approved by Code 25) as contemplated in Federal Acquisition Regulation (FAR) 6.102(d)(2) and 35.016 and DoD's Other Transaction Guide for Prototypes Projects, USD(AT&L), OT Guide, Jan 2017. A formal Request for Proposals (RFP), solicitation, and/or additional information regarding this announcement will not be issued.

The Office of Naval Research (ONR) will not issue paper copies of this announcement. The ONR reserves the right to fund all, some, or none of the proposals received under this BAA. ONR provides no funding for direct reimbursement of proposal development costs. Technical and cost proposals (or any other material) submitted in response to this BAA will not be returned. It is the policy of ONR to treat all proposals submitted under this BAA as sensitive competitive information and to disclose their contents only for the purposes of evaluation.

### **A. Required Overview Content**

#### **1. Federal Awarding Agency Name**

Office of Naval Research,  
One Liberty Center  
875 N. Randolph Street  
Arlington, VA 22203-1995

#### **2. Funding Opportunity Title**

Naval Application of Machine Learning/Artificial Intelligence

#### **3. Announcement Type**

Initial Announcement

#### **4. Funding Opportunity Number**

N0014-18-S-B006

**5. Catalog of Federal Domestic Assistance (CFDA) Numbers**

12.300

Title: Department of Defense (DoD), Department of the Navy, Office of Chief of Naval Research, Basic and Applied Scientific Research

**6. Key Dates (See also Section D.4)**

<b>Anticipated Schedule of Events *</b>		
<b>Event</b>	<b>Date (MM/DD/YYYY)</b>	<b>Time (Local Eastern Time)</b>
Pre-Proposal Conference/Industry Day	N/A	N/A
White Paper Questions Deadline	07/27/2018	1500
White Papers Due Date	08/03/2018	1500
Notification of Initial Navy Evaluations of White Papers*	08/24/2018	N/A
Oral Presentation of White Papers*	N/A	N/A
Notification of Navy Evaluations of Oral Presentations*	N/A	N/A
Full Proposal Questions Deadline	09/07/2018	1500
Full Proposals Due Date	09/21/2018	1500
Notification of Selection for Award *	10/05/2018	N/A
Awards*	01/25/2019	N/A
Kickoff Meeting*	02/08/2019	TBD

**These dates are estimates as of the date of this announcement.**

**7. North American Industry Classification System (NAICS) code**

The NAICS code for contracts under this announcement is 541715 with a small business size standard of 1,000 employees.

## II. DETAILED INFORMATION ABOUT THE FUNDING OPPORTUNITY

### A. Program Description

**Synopsis:** The opportunity presented by this BAA is to perform applied research and advanced technology development that enables improvements to expeditionary command and control and intelligence capabilities that are applicable to Naval environments. The opportunity described in this BAA is focused on the application of machine learning (ML) / artificial intelligence (AI) techniques to improved mission planning and execution.

#### **Focus Areas of Interest:**

ONR is interested in receiving proposals that increase our understanding of how the dramatic advances in machine learning / artificial intelligence (ML/AI) that the private sector has successfully leveraged can translate into Naval warfighting capabilities. Offerors should consider the range of capabilities ML/AI techniques, particularly deep learning, have been applied to commercially and then consider what Naval questions/capabilities the enabling ML/AI can be applied to. The objective is to show ML/AI can improve or revolutionize the capabilities of our Naval forces. A proposal offered for BA2 applied research funding should address technology feasibility and may require innovative methods to create labeled data or new algorithm development. A proposal offered for BA3 advanced technology development funding should have less technical risk but may have open questions concerning the operational utility of achievable model performance. Naval areas of interest that recent AI/ML research advances may be applied to include (but are not limited to):

- Given a never before seen dynamic tactical situation (generally viewed as plans, the common intelligence picture and common tactical picture), identify the correct training point (a labeled set of operational or simulated data) that can be used by a decision support service.
- Development of agents that can track the capabilities and limitations of units and force packages relative to a broad set of mission tasks.
- Development of agents that can assess red and blue courses of action given knowledge of the capabilities and limitations of units and force packages.
- Development of agents that automate the placement of operational control measures and information on graphics such as the common tactical picture and common intelligence picture given a current mission state (e.g. everything known about an area relevant to the execution of a mission task).
- The use of natural language processing and predictive technology to update/disambiguate symbol placement on a common tactical picture based on audio and chat data.
- The development of a smart and relevant human to AI interface that supports question answering and model explainability.

- Development of agents that project mission task measures of performance and effectiveness given a mission state. Outcomes for each of the warfighting functions may need to be trained holistically.
- Development of agents that predict collection plan performance as a function of time/mission task and assess key features that may increase or decrease that performance.
- Given a mission context, develop classifiers to predict enemy observation and enemy sensing effectiveness and efficiency.
- Development of agents that can learn the patterns of life of enemy platforms and units using all available information (e.g. not just motion histories).
- Using all available data on an opposing force (past entity detects, recognized behaviors, situation context) train machines to predict future enemy locations and behavior. Continuous learning should enable inferences to improve with time.
- Train classifiers to recognize enemy courses of action (most likely and dangerous) from mission state information including learned knowledge of enemy patterns of life and encyclopedic information (e.g. the Modernized Integrated Database).
- Development of agents for the analysis of deception. Classifiers should predict what is real versus virtual; believed versus discounted.
- Utilize generative adversarial networks to train AI capabilities with less data, leveraging their ability to generate data sets.
- Development of AI capabilities that learn how to “win” within relevant modeling and simulation environment. Once trained, these agents could be leveraged to provide a more realistic training environment for warfighters.
- Development of agents that can author collection plans that get more effective over time by learning from past plans.
- Development of agents that learn the importance of specific information to mission task execution.
- Development of a battle management aid actuator that requests existing battle management aids to make new recommendation.
- Development of new battle management aides that translate an enhanced understanding of a mission state into recommended changes to mission execution.
- Development of an ability to maintain the actions of many platforms/sensors optimized relative to a set of information requirements for minutes to hours with little or no communication.

For any of the AI/ML listed above, a data labeling strategy could be based on modeling and simulation, subject matter experts, observation of training environments or all of the above.

**THIS ANNOUNCEMENT IS NOT FOR THE ACQUISITION OF TECHNICAL, ENGINEERING AND OTHER TYPES OF SUPPORT SERVICES**

## B. Federal Award Information

1. **Eligibility for Competition.** Proposals for renewal or supplementation of existing projects are eligible to compete with applications for new Federal awards under this BAA.

2. **Contracted Fundamental Research.** With regard to any restrictions on the conduct or outcome of work funded under this BAA, ONR will follow the guidance on and definition of “contracted fundamental research” as provided in the Under Secretary of Defense (Acquisition, Technology and Logistics) Memorandum of 24 May 2010.

As defined therein the definition of “contracted fundamental research,” in a DoD contractual context, includes research performed under grants and contracts that are (a) funded by Research, Development, Test and Evaluation Budget Activity 1 (Basic Research), whether performed by universities or industry or (b) funded by Budget Activity 2 (Applied Research) and performed on campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

Pursuant to DoD policy, research performed under grants and contracts that are a) funded by Budget Activity 2 (Applied Research) and NOT performed on-campus at a university or b) funded by Budget Activity 3 (Advanced Technology Development) does not meet the definition of “contracted fundamental research.” In conformance with the USD (AT&L) guidance and National Security Decision Directive 189, ONR will place no restriction on the conduct or reporting of unclassified “contracted fundamental research,” except as otherwise required by statute, regulation or executive order. For certain research projects, it may be possible that although the research being performed by the prime contractor is restricted research, a subcontractor may be conducting “contracted fundamental research.” In those cases, it is the prime contractor’s responsibility in the proposal to identify and describe the subcontracted unclassified research and include a statement confirming that the work has been scoped, negotiated, and determined to be fundamental research according to the prime contractor and research performer.

Normally, fundamental research is awarded under grants with universities and under contracts with industry. Non-fundamental research is normally awarded under contracts and may require restrictions during the conduct of the research and DoD pre-publication review of such research results due to subject matter sensitivity. Potential offerors should consult with the appropriate ONR Technical POCs to determine whether the proposed effort would constitute basic research,



applied research or advanced research.

FAR Part 35 restricts the use of Broad Agency Announcements (BAAs), such as this, to the acquisition of basic and applied research and that portion of advanced technology development not related to the development of a specific system or hardware procurement. Contracts and grants and other assistance agreements made under BAAs are for scientific study and experimentation directed towards advancing the state of the art and increasing knowledge or understanding.

### **3. Funded Amount and Period of Performance**

#### **a. Funded Amount and Period of Performance- Estimated Total Amount of Funding Available (in \$K):**

Type of Funds	FY2019	FY2020	FY2021	Total
BA2	\$4,000	\$4,000	\$5,000	\$13,000
BA3	\$4,000	\$4,000	\$5,000	\$13,000

**Note:** BA2 funding refers to applied research funding and BA3 funding refers to advanced technology development funding.

Five (5) to ten (10) awards are anticipated for BA2 and will have a period of performance of up to three (3) years. Five (5) to ten (10) awards are anticipated for BA3 and will have a period of performance of up to for three (3) years.

### **4. Instrument Type(s) -**

Awards may take the form of contracts or other transaction agreements, as appropriate.

The following provides brief descriptions of potential instrument types:

- a. Procurement Contract: A legal instrument, consistent with 31 U.S.C. 6303, which reflects a relationship between the Federal Government and a state government, a local government, or other entity/contractor when the principal purpose of the instrument is to acquire property or services for the direct benefit or use of the Federal Government.
- b. Other Transaction (OT for Prototype): A legal instrument, consistent with 10 U.S.C. 2371b, which may be used when the use of a contract, grant, or cooperative agreement is not feasible or appropriate for prototype projects directly relevant to enhancing the mission effectiveness of military personnel and the supporting platforms, systems, components, or materials proposed to be acquired or developed by the Department of Defense, or

for improvement of platforms, systems, components, or materials in use by the armed forces. The effort covered under an OT shall not be duplicative of effort being conducted under an existing DoD program (please refer to the DoD “Other Transactions Guide for Prototype Projects” dated January 2017). This document along with other OT resources may be accessed at the following link:

<http://www.acq.osd.mil/dpap/cpic/cp/10USC2371bOTs.html>

## **5. Model Contracts**

Examples of model contracts can be found on the ONR website at the following link: <http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/contract-model-awards.aspx>.

## **C. Eligibility Information**

### **1. Eligible Applicants**

- a. All responsible sources from academia, industry and the research community may submit proposals under this BAA. Historically Black Colleges and Universities (HBCUs) and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this BAA will be set aside for Small Business or other socio-economic participation. All businesses both small and large are encouraged to submit proposals and compete for funding consideration. The Instrument Type will be chosen at the time of award according to the Offeror’s socioeconomic structure and other factors.
- b. Federally Funded Research & Development Centers (FFRDCs), including Department of Energy National Laboratories, **are not** eligible to receive awards under this BAA. However, teaming arrangements between FFRDCs and eligible principal Offerors are allowed so long as such arrangements are permitted under the sponsoring agreement between the Government and the specific FFRDC.
- c. Navy laboratories, military universities and warfare centers as well as other Department of Defense and civilian agency laboratories are also not eligible to receive awards under this BAA and should not directly submit either white papers or full proposals in response to this BAA. If any such organization is interested in one or more of the programs described herein, the organization should contact an appropriate ONR Technical POC to discuss its area of interest.

The various scientific divisions of ONR are identified at <http://www.onr.navy.mil/>. As with FFRDCs, these types of federal organizations may team with other eligible sources from academia and industry that are submitting proposals under this BAA.

- d. University Affiliated Research Centers (UARC)s are eligible to submit proposals under this BAA unless precluded from doing so by their Department of Defense UARC contract.
- e. Teams are also encouraged and may submit proposals in any and all areas. However, Offerors must be willing to cooperate and exchange software, data and other information in an integrated program with other contractors, as well as with system integrators, selected by ONR.

2. **Cost Sharing or Matching** - Cost sharing is not expected and will not be used as a factor during the merit review of any proposal hereunder. However, the Government may consider voluntary cost sharing if proposed.

#### **D. Application and Submission Information**

1. **Address to Request (Access) Application Package** - This BAA may be accessed from the sites below. Amendments, if any, to this BAA will be posted to these websites when they occur. Interested parties are encouraged to periodically check these websites for updates and amendments.

- a. FedBizOpps ([www.fbo.gov](http://www.fbo.gov))
- b. ONR website <http://www.onr.navy.mil>

#### **2. Content and Form of Application Submission**

##### **a. General Information**

White Papers: The due date for white papers is no later than 3:00 PM Local Eastern Time on Friday, 3 August 2018. White papers are to be submitted as a pdf file via electronic mail only to [Martin.Kruger1@navy.mil](mailto:Martin.Kruger1@navy.mil). If an Offeror does not submit a white paper before the specified due date and time, it is not eligible to participate in the remaining Full Proposal submission process and is not eligible for funding. Each white paper should state that it is submitted in response to this BAA and cite the particular sub-section of the Areas of Interest mentioned above that the white paper is primarily addressing.

White Paper Evaluation/Notification: Navy evaluations of the white papers will be issued via email notification on or about Friday, 10

August 2018.

**Full Proposals:** The due date for receipt of Full Proposals is 3:00 PM Local Eastern Time on Friday, 21 September 2018. It is anticipated that final selections will be made within 2 (two) weeks after full proposal submission. As soon as the final full proposal evaluation process is completed, PI's will be notified via email of their project's selection or non-selection for FY19 funding. Full proposals received after the published due date and time will not be considered for funding in FY19.

All proposal submissions will be protected from unauthorized disclosure in accordance with FAR Subpart 15.207, applicable law, and DoD/Department of Navy (DON) regulations. Offerors are expected to appropriately mark each page of their submission that contains proprietary information.

**IMPORTANT NOTE:** Titles given to the White Papers/Full Proposals should be descriptive of the work they cover and not be merely a copy of the title of this solicitation.

**b. Submission of Unclassified and Classified Proposals**

- White Papers and Full Proposals submitted under this BAA are expected to be unclassified; however, classified proposals are permitted. If a classified proposal is submitted and selected for award, the resultant contract will be unclassified. An 'unclassified' Statement of Work (SOW) must accompany any classified proposal.
- Unclassified Proposal Instructions: Unclassified proposals shall be submitted in accordance with this Section.
- Special Instructions for Classified White Papers and Proposal: Classified proposals shall be submitted directly to the attention of ONR's Document Control Unit at the following physical address and marked in the following manner:

**OUTSIDE ENVELOPE - (no classification marking):**

“Office of Naval Research  
Attn: Document Control Unit  
ONR Code 43  
875 North Randolph Street  
Arlington, VA 22203-1995”

The inner wrapper of the classified White Paper and/or Full Proposal

should be addressed to the attention of the cognizant TPOC, ONR Code 30 and marked in the following manner:

**INNER ENVELOPE - (stamped with the overall classification of the material)**

“Program Name: Code 30 ISR  
Office of Naval Research  
ATTN: Martin Kruger  
ONR Code: 30  
875 North Randolph Street  
Arlington, VA 22203-1995”

- For both classified and unclassified proposals, a non-proprietary version of the Statement of Work must also be submitted. Do not put proprietary data or markings in or on the Statement of Work. For proposals containing data that the offeror does not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, the contractor shall mark the title page with the following legend:

*“This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed--in whole or in part--for any purpose other than to evaluate the proposal. If, however, a contract is awarded to this offeror as a result of--or in connection with--the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government’s right to use information contained in this data if is obtained from another source without restriction. The data subject to this restriction are contained in (insert numbers or other identification of sheets).”*

- Each sheet of data that the offeror wishes to restrict must be marked with the following legend:

*“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.”*

**c. White Paper Requirements.**

i. White Paper Format

- Paper Size – 8.5 x 11 inch paper
- Margins – 1 inch
- Spacing – single-spaced
- Font – Times New Roman, 12 point
- Page limit – 5 pages (excluding cover page, resumes, bibliographies, and table of contents)

ii.

White Paper Submission. All non-classified white papers shall be submitted electronically via email to the attention of the Technical Point of Contact (TPOC) at: [Martin.Kruger1@navy.mil](mailto:Martin.Kruger1@navy.mil). The subject line of the email shall read: “N00014-18-S-B006” *White Paper Submission*. Do not send ZIP files. Password protected files are discouraged. The white paper must be in Microsoft Word or PDF format and shall be attached to the email. There is an email size limit of 5MB per email.

iii. White Paper Content: White papers shall include the following:

#### **FOR ALL WHITE PAPERS**

- Cover Page: The Cover Page shall be labeled “WHITE PAPER” and shall include the BAA Number N00014-18-S-B006, proposed title, technical points of contact, telephone number, facsimile number, and E-mail address.
- Technical Concept: A description of the technology innovation and technical risk areas.
- Rough Order of Magnitude (ROM) cost estimate.

d. **Full Proposals:** (See Appendix 1 for instructions.)

i. Instructions for Contracts and Other Transaction Agreements. (See Appendix 1)

### **3. Unique Entity Identifier and System for Award Management (SAM)**

Unique Entity Identifier and System for Award Management (SAM) - All offerors submitting proposals or applications must:

- a. Be registered in SAM prior to submission;
- b. Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by any agency; and

- c. Provide its DUNS number in each application or proposal it submits to the agency.

SAM may be accessed at <https://www.sam.gov/>

#### **4. Submission Dates and Times -**

(See Section I, paragraph A.6, Key Dates, for information)

##### **Submission of Late Proposals (Applicable to White Papers and Full Proposals)**

Any white paper, proposal, modification, or revision, that is received at the designated Government office after the exact time specified for receipt of proposals is “late” and will not be considered unless it is received before award is made, the contracting officer determines that accepting the late proposal would not unduly delay the acquisition and

- (a) If it was transmitted through an electronic commerce method authorized by the announcement, it was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of proposals; or
- (b) There is acceptable evidence to establish that it was received at the Government installation designated for receipt of proposals and was under the Government’s control prior to the time set for receipt of proposals; or
- (c) It was the only proposal received.

However, a late modification of an otherwise timely and successful proposal that makes its terms more favorable to the Government will be considered at any time it is received and may be accepted.

Acceptable evidence to establish the time or receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the Government office designated for receipt of proposals by the exact time specified in the announcement, and urgent Government requirements preclude amendment of the announcement closing date, the time specified for receipt of proposals will be deemed to extend to the

same time of day specified in the announcement on the first work day on which normal Government processes resume.

The contracting officer must promptly notify any offeror if its proposal, modifications, or revision was received late and must inform the offeror whether its proposal will be considered.

## **5. Other Submission Requirements**

### **a. Submission of Full Proposals for Contracts and Other Transaction Agreements**

Unless submitting a classified proposal (see instructions above), all Offerors shall submit their proposals electronically as follows:

#### **Electronic Submission:**

**Submit to Martin Kruger, the Program Officer, Code 30, at:**

**[martin.kruger1@navy.mil](mailto:martin.kruger1@navy.mil)**

## **E. Application Review Information**

### **1. Criteria**

Procurement contracts under this BAA will be made in accordance with FAR 35.016(e) or 2 C.F.R 200. OT terms and conditions will be negotiated directly with the Offeror. The primary basis for selecting proposals for acceptance will be technical merit, importance to agency programs, and fund availability. To the extent appropriate, cost realism and reasonableness will also be considered when selecting proposals. ONR reserves the right to request and require any additional information and documentation after it makes the type of award instrument determination. ONR reserves the right to remove Offerors from award consideration when the parties fail to reach agreement on award terms, conditions, and cost/price within a reasonable time, or when the Offeror fails to timely provide requested or required additional information.

Offerors' proposals will be evaluated against the following criteria:

- 1) Overall scientific and technical merits of the proposal;
- 2) The qualifications, capabilities and related experience of the offeror, proposed Principal Investigator (PI), team leader, and key personnel who are critical in achieving the proposal objectives;
- 3) Potential Naval relevance and contributions of the effort to the agency's specific mission;



- 4) Potential to transition to a program of record;
- 5) The availability of funds.

Criteria 1, 2, 3, 4 and 5 are equally important.

In addition, ONR highly encourages partnering among industry and academia and industry and Government with a view toward speeding the incorporation of new science and technology into fielded systems. Proposals that utilize industry-academic or industry-Government partnering which enhances the development of novel S&T advances, although not mandatory, are desired and will receive favorable consideration.

## **2. Review and Selection Process**

a. Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. ONR's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons.

The ultimate recommendation for award of proposals is made by ONR's scientific/technical community. Recommended proposals will then be forwarded to the ONR Contracts and Grant Awards Management office. Any notification received from ONR that indicates that the Offeror's full proposal has been recommended does not ultimately guarantee an award will be made. This notice indicates that the proposal has been selected in accordance with the evaluation criteria stated above and has been sent to the Contracting Department to conduct cost analysis, determine the offeror's responsibility, to confirm whether funds are available, and to take other relevant steps necessary prior to commencing negotiations with the offeror.

### **a. Commitment to Small Business- (For Contract Awards Only)**

The Office of Naval Research is strongly committed to providing meaningful prime and subcontracting opportunities for small businesses, small disadvantaged businesses (SDBs), woman-owned small businesses (WOSBs), historically underutilized business zone (HUBZone) small businesses, veteran-owned small business (VOSBs), service disabled veteran-owned small businesses (SDVOSBs), historically black colleges and universities, and minority institutions, and other concerns subject to socioeconomic considerations through its awards.

Businesses unfamiliar with doing business with the government and that require assistance may contact the state-specific DoD Procurement Technical Assistance Center (PTAC). DoD PTACs serve as a resource for businesses pursuing and performing under contracts with DoD, other federal agencies, state and local governments and with government prime contractors. Assistance provided by the

PTACs is usually free of charge. PTAC support includes registration in systems such as SAM, identification of contract opportunities, understanding requirements and preparing and submitting proposals. The PTACs have a presence in each state, Puerto Rico and Guam.

To locate a local PTAC visit:

<http://www.dla.mil/SmallBusiness/Pages/ProcurementTechnicalAssistanceCenters.aspx> or <http://www.aptac-us.org/new/> .

1) Subcontracting Plan - For proposed contract awards exceeding \$700,000, large businesses and non-profits (including educational institutions) shall provide a Subcontracting Plan (hereafter known as ‘the Plan’) that contains all elements required by FAR 19.704, FAR 52.219-9 (DEVIATION 2016-O0009 ALT III) and as supplemented by DFARS 252.219-7003 (DEVIATION 2016-O0009).

NOTE: Small businesses are exempt from this requirement to submit a subcontracting plan.

The Plan must be submitted as an attachment to the “Proposal Checklist” and will not be included in the page count. If a company has a Master Subcontracting Plan, as described in FAR 19.701 or a Comprehensive Subcontracting Plan, as described in DFARS 219.702, a copy of the Plan shall also be submitted as an attachment to the “Proposal Checklist”.

Plans will be reviewed for adequacy, ensuring that the required information, goals, and assurances are included. FAR 19.702 requires an apparent successful offeror to submit an acceptable Plan. If the apparent successful offeror fails to negotiate a Plan acceptable to the contracting officer within the time limit prescribed by the contracting officer, the offeror will be ineligible for award.

Offerors shall propose a plan that ensures small businesses (inclusive of SDBs, WOSBs, HUBZone, VOSBs and SDVOSBs) will have the maximum practicable opportunity to participate in contract performance consistent with efficient performance.

As a baseline, Offerors shall, to the best extent possible, propose realistic goals to ensure small business participation in accordance with the current or most recent fiscal year subcontracting goals found on the DoD Office of Small Business Program website at: <http://www.acq.osd.mil/osbp/>. If proposed goals are below the statutory requirements, then the offeror shall include in the Plan a viable written explanation as to why small businesses are unable to be utilized and what attempts were taken to ensure that small business were given the opportunity to participate in the effort to the maximum extent practicable.

## 2) Small Business Participation Statement –

If subcontracting opportunities exist, all prime Offerors shall submit a Small Business Participation Statement regardless of size in accordance with DFARS 215.304 when receiving a contract for more than the simplified acquisition threshold (i.e., \$250,000). All offerors shall provide a statement of the extent of the offeror's commitment in providing meaningful subcontracting opportunities for small businesses and other concerns subject to socioeconomic considerations through its awards and must agree that small businesses, VOSBs, SDVOSBs, HUBZones, SDBs, and WOSBs concerns will have the maximum practicable opportunity to participate in contract performance consistent with efficient performance.

This assertion will be reviewed to ensure that it supports this policy by providing meaningful subcontracting opportunities. The statement should be submitted as an attachment to the "Proposal Checklist" and will not be included in the page count.

## 3) Subcontracting Resources -

Subcontracting to a prime contractor can be a good way to participate in the contracting process. The following is a list of potential resources that may assist in locating potential subcontracting partners/opportunities/resources:

- \*Companies Participating in DoD Subcontracting Program Report
- \*DAU Small Business Community of Practice (SB COP)
- \*DefenseLink  $\geq$  \$7.0 M Award Notices
- \*DoD OSBP Prime Contractors and Subcontractors with Subcontracting Plans
- \*Dynamic Small Business Search
- \*Electronic Subcontracting Reporting System (eSRS)
- \*Federal Business Opportunities (FEDBIZOPPS)
- \*Navy SBIR/STTR Search – Website or Brochure
- \*DoD Procurement Technical Assistance Centers (PTAC)
- \*Small Business Administration (SBA) Subcontracting Opportunities Directory
- \*SBA Subnet

For a description and associated websites visit the ONR Office of Small Business webpage at:

<http://www.onr.navy.mil/Contracts-Grants/small-business.aspx>.

In accordance with FAR 5.206, the following entities may transmit a notice to the Government-wide Point of Entry (GPE) at <https://www.fbo.gov> to seek competition for subcontracts, to increase participation by qualified small businesses, VOSBs, SDVOSBs, HUBZones, SDBs, and WOSBs, and to meet established subcontracting plan goal as follows:

- (a) A contractor awarded a contract exceeding the simplified acquisition threshold that is likely to result in the award of any subcontracts;
- (b) A subcontractor or supplier, at any tier, under a contract exceeding simplified acquisition threshold, which has a subcontracting opportunity exceeding \$15,000.

The notices must describe:

- (a) The business opportunity;
- (b) Any prequalification requirements; and
- (c) Where to obtain technical data needed to respond to the requirement.

An example of a place in which prime contractors may post solicitations or sources sought notices for small business is the SBA SUB-Net.. The SUB-Net database provides a listing of subcontracting solicitations and opportunities posted by large prime contractors and other non-federal organizations.

## **b. Options**

The Government will evaluate options for award purposes by adding the total cost for all options to the total cost for the basic requirement. Evaluation of options will not obligate the Government to exercise the options during contract or grant performance.

## **c. Evaluation Panel**

Technical and cost proposals submitted under this BAA will be protected from unauthorized disclosure in accordance with FAR 3.104-4 and 15.207. The cognizant Program Officer and other Government scientific experts will perform the evaluation of technical proposals.

## **3. Recipient Qualifications**

- a. Applicable to Contracts and Other Transaction Agreements

(See Appendix 1.)

## **F. Federal Award Administration Information**

### **1. Federal Award Notices**

- a. Applicants whose proposals are recommended for award may be contacted by a Contracting Officer of Contract Specialist to discuss additional information required for award. This may include representations and certifications, revised budgets or

budget explanations, certificate of current cost or pricing data, subcontracting plan for small businesses, and/or other information as applicable to the proposed award.

The notification e-mail must not be regarded as an authorization to commit or expend funds. The Government is not obligated to provide any funding until a Government Contracting Officer signs the award document.

The award document signed by the Contracting Officer is the official and authorizing award instrument.

- b. Office of Naval Research (ONR) award/modification documents are only available via the Department of Defense (DoD) Electronic Document Access System (EDA) within the Wide Area WorkFlow e-Business Suite (<https://wawf.eb.mil/>).

EDA is a Web-based system that provides secure online access, storage and retrieval of awards and modifications to DoD employees and vendors.

**IMPORTANT:** In some cases, EDA notifications are appearing in recipients' Junk Email folder. If you are experiencing issues receiving EDA notifications, please check your junk email. If found, please mark EDA notifications as "not junk."

If you do not currently have access to EDA, you may complete a self-registration request as a "Vendor" via <https://wawf.eb.mil/> following the steps below:

1. Click "Accept"
2. Click "Register" (top right)
3. Click "Agree"
4. In the "What type of user are you?" drop down, select "Vendor"
5. Select the systems you would like to access (iRAPT at a minimum)
6. Complete the User Profile and follow the site instructions

Allow five business days for your registration to be processed. EDA will notify you by email when your account is approved.

To access awards after your registration has been approved, log into <https://wawf.eb.mil/>, select "EDA", select either EDA location, Select "Contracts", select your search preference, enter

the Contract Number (or, if applicable, enter the Grant Number in the Contract Number field), and select "View".

Registration questions may be directed to the EDA help desk toll free at 866-618-5988, commercial at 801-605-7095, or via email at [mdisa.ogden.esd.mbx.cscassig@mail.mil](mailto:mdisa.ogden.esd.mbx.cscassig@mail.mil) (Subject: EDA Assistance).

## 2. **Administrative and National Policy Requirements**

### a. **Applicable to All**

- i. Offerors should be aware of recent changes in export control laws. Offerors are responsible for ensuring compliance with all U.S. export control laws and regulations, including the International Traffic in Arms Regulation (ITAR) (22 CFR Parts 120 - 130) and Export Administration Regulation (EAR) (15 CFR Parts 730 – 774), as applicable. In some cases, developmental items funded by the Department of Defense are now included on the United States Munition List (USML) (22 CFR Part 121) and are therefore subject to ITAR jurisdiction. In other cases, items that were previously included on the USML have been moved to the EAR Commerce Control List (CCL). Offerors should address in their proposals whether ITAR or EAR restrictions apply to the work they are proposing to perform for ONR. The ITAR and EAR are available online at <http://www.ecfr.gov/cgi-bin/ECFR?page=browse>. Additional information regarding the President's Export Control Reform Initiative can be found at <http://export.gov/ecr/index.asp>.

Offerors must comply with all U.S. export control laws and regulations, including the ITAR and EAR, in the performance of any award or agreement resulting from this BAA. Offerors shall be responsible for obtaining any required licenses or other approvals, or license exemptions or exceptions if applicable, for exports of hardware, technical data, and software (including deemed exports), or for the provision of technical assistance.

- ii. *Security Classification:*

In order to facilitate intra-program collaboration and technology transfer, the Government will attempt to enable technology developers to work at the unclassified level to the maximum extent possible. If access to classified material will be required at any

point during performance, the Offeror must clearly identify such need in Section II, Block 11 of the Proposal Checklist . The Proposal Checklist can be found at

<https://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/cost-proposal>.

If it is determined that access to classified information will be required during the performance of an award, a Department of Defense (DD) Form 254 will be attached to the contract, and FAR 52.204-2 - Security Requirements will be incorporated into the contract.

iii. *Requirements Concerning Live Organisms:*

(1) Use of Animals: If animals are to be utilized in the research effort proposed, the Offeror must submit a Full Appendix or Abbreviated Appendix with supporting documentation (copies of Institutional Animal Care and Use Committee (IACUC) Approval, IACUC Approved Protocol, and most recent United States Department of Agriculture (USDA) Inspection Report) prior to award. For assistance with submission of animal research related documentation, contact the ONR Animal Use Administrator at (703) 696-4046. Guidance: <https://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/animal-use>

(2) Use of Human Subjects in Research:

(a) You must protect the rights and welfare of individuals who participate as human subjects in research under this award and comply with the requirements of the Common Rule at 32 CFR part 219 and applicable provisions of DoD Instruction 3216.02, Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research (2011), the DON implementation of the human research protection program contained in SECNAVINST 3900.39D (or its replacement), 10 USC 980 “Limitation on Use of Humans as Experimental Subjects,” and when applicable, Food and Drug Administration (FDA) and other federal and state law and regulations.

(b) For proposals containing activities that include or may include “research involving human subjects” as defined in DoDI 3216.02, prior to award, the Offeror must submit documentation of:

(i) Approval from an Institutional Review Board (IRB) (IRB-approved research protocol, IRB- approved informed consent document, and other material they considered); proof of completed human research training (e.g., training certificate or institutional verification of training for the principal investigator, co-investigators); and the Offeror's Department of Health and Human Services (DHHS)-issued Federal wide Assurance (FWA#),

(ii) Any claimed exemption under 32 CFR 219 101(b), including the category of exemption, supporting documentation considered by your institution in making the determination (e.g., protocol, data collection tools, advertisements, etc.). The documentation shall include a short rationale supporting the exemption determination. This documentation should be signed by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the human research protection program.

(iii) Any determinations that the proposal does not contain activities that constitute research involving human subjects, including supporting documentation considered by your institution in making the determination. This documentation should be issued by the IRB Chair or IRB vice Chair, designated IRB administrator or official of the human research protection program.

(c) Documentation must be submitted to the ONR Human Research Protection Official (HRPO), by way of the ONR Program Officer. If the research is determined by the IRB to be greater than minimal risk, you also must provide the name and contact information for the independent research monitor and a written summary of the monitors' duties, authorities, and responsibilities as approved by the IRB. For assistance with submission of human subject research related documentation, contact the ONR Human Research Protection Official (HRPO) at (703) 696-4046.

(d) Contracts and any subawards or modifications will include a statement indicating successful completion of the HRPO



review. Research involving human subjects must not be commenced under any contract award or modification or any subcontract until awardee receives notification from the Contracting Officer that the HRPO has approved the assurance as appropriate for the research under the award or modification and that the HRPO has reviewed the protocol and accepted the IRB approval or determination for compliance with Federal, DoD and DON research protection requirements. See, DFARS 252.235-7004. Guidance: <http://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/Human-Subject-Research.aspx>

- iv. *Use of Recombinant DNA or Synthetic Nucleic Acid Molecules:* Proposals which call for experiments using recombinant or synthetic nucleic acid molecules must include documentation of compliance with NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines), approval of the Institutional Biosafety Committee (IBC), and copies of the DHHS Approval of the IBC letter. Guidance: <https://www.onr.navy.mil/About-ONR/compliance-protections/Research-Protections/recombinant-or-synthetic-nucleic-acid-molecules>
- v. *Institutional Dual Use Research of Concern:* As of September 24, 2015, all institutions and United States Government (USG) funding agencies subject to the [United States Government Policy for Institutional Oversight of Life Sciences Dual Use Research of Concern](#) must comply with all the requirements listed therein. If your research proposal directly involves certain biological agents or toxins, contact the cognizant Technical Point of Contact. U.S. Government Science, Safety, Security (S3) guidance may be found at <http://www.phe.gov/s3/dualuse>.
- vi. *Department of Defense High Performance Computing Program:* The DoD High Performance Computing Program (HPCMP) furnishes the DoD S&T and RDT&E communities with use-access to very powerful high performance computing systems. Awardees of ONR contracts, grants, and other assistance instruments may be eligible to use HPCMP assets in support of their funded activities if ONR Program Officer approval is obtained and if security/screening requirements are favorably completed. Additional information and an application may be found at <https://www.hpc.mil/>.

- vii. *Project Meetings and Reviews:*  
Individual program reviews between the ONR sponsor and the performer may be held as necessary. Program status reviews may also be held to provide a forum for reviews of the latest results from experiments and any other incremental progress towards the major demonstrations. These meetings will be held at various sites throughout the country. For costing purposes, offerors should assume that 40% of these meetings will be at or near ONR, Arlington VA and 60% at other locations such as the contractor's facility, other contractor's facility or government facilities. (This statement does not apply to international offerors submitting proposals to ONRG. International offerors should contact the cognizant ONRG Administrative Director (AD) for guidance prior to submitting a proposal.) Interim meetings are likely, but these will be accomplished via video telephone conferences, telephone conferences, or via web-based collaboration tools.

3. **Reporting:** If the Federal share of any Federal award may include more than \$500,000 over the period of performance, the post award reporting requirements, Award Term and Condition for Recipient Integrity and Performance Matters (2 CFR Part 200 Appendix XII), is applicable as follows:

A. Reporting of Matters Related to Recipient Integrity and Performance

1. **General Reporting Requirement.** If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 41 U.S.C. 2313. All information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.
2. **Proceedings About Which You Must Report.** Submit the information required about each proceeding that:
  - a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;

- b. Reached its final disposition during the most recent five year period;  
and
  - c. Is one of the following:
    - (i) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
    - (ii) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
    - (iii) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
    - (iv) Any other criminal, civil, or administrative proceeding if:
      - (i) It could have led to an outcome described in paragraph 2.c. (1), (2), or (3) of this award term and condition;
      - (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
      - (iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.
3. Reporting Procedures. Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.
4. Reporting Frequency. During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

5. Definitions. For purposes of this award term and condition:

a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—

(i) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(ii) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

**a. Applicable to Contracts and Other Transaction Agreements  
(See Appendix 1).**

**G. Federal Awarding Agency Contacts**

**1. Communications:**

a. *All UNCLASSIFIED communications shall be submitted via e-mail to Martin Kruger at [Martin.Kruger1@navy.mil](mailto:Martin.Kruger1@navy.mil) with a copy to Justin Fraser designated Business POC at [Justin.S.Fraser@navy.mil](mailto:Justin.S.Fraser@navy.mil).*

b. *CLASSIFIED questions shall be handled through the ONR Security POC. Specifically, any entity wanting to ask a CLASSIFIED question shall send an UNCLASSIFIED email to the ONR Security POC with a copy to both the Technical POC and the Business POC stating that the entity would like to ask a CLASSIFIED question. DO NOT EMAIL ANY CLASSIFIED QUESTIONS. The Security POC will contact the entity and arrange for the CLASSIFIED question to be asked through a secure method of communication.*

Comments or questions submitted should be concise and to the point, eliminating any unnecessary verbiage. In addition, the relevant part and paragraph of the Broad Agency Announcement (BAA) should be referenced. Questions submitted after the deadline described in I.A.6 will not be answered, and the due date for submission of the white paper and/or full proposal will not be extended.

Questions of a business nature, and suggestions for improvement, should be submitted to:

Justin Fraser  
Contract Specialist  
[Justin.S.Fraser@navy.mil](mailto:Justin.S.Fraser@navy.mil)

Questions of a technical nature should be submitted to:

Martin Kruger  
ISR Program Manager  
[Martin.Kruger1@navy.mil](mailto:Martin.Kruger1@navy.mil)

Questions of a Security nature should be submitted to:

Torri Woodfolk  
Industrial Security Specialist  
[torri.powell@navy.mil](mailto:torri.powell@navy.mil)

## APPENDIX 1 - REQUIREMENTS APPLICABLE TO CONTRACTS AND OTHER TRANSACTION AGREEMENTS

### A. Application and Submission Information

#### 1. Content and Form of Application Submission

##### (a) Full Proposals:

##### i. Instructions for Contracts and Other Transaction Agreements

Proposal Package:

*The following six documents with attachments comprise a complete proposal package:*

- (1) Proposal Checklist (.pdf)
- (2) Technical Proposal Template (.pdf)
- (3) Cost Proposal Spreadsheet (Excel)
- (4) Adequacy Checklist for Pre Award Audit (SF 1408) (as applicable)
- (5) Stand-alone non-proprietary Statement of Work (SOW) in Word
- (6) ONR-specific Representations and Certifications

**NOTE: The electronic file name for all documents submitted under this BAA must not exceed 68 characters in length, including the file name extension.**

Items 1 – 5 above are located at:

<http://www.onr.navy.mil/Contracts-Grants/submit-proposal/contracts-proposal/>. All have instructions imbedded into them that will assist in completing the documents. Also, both the Proposal Checklist and the Cost Proposal Spreadsheet require completion of cost-related information. Please note that attachments can be incorporated into the Proposal Checklist.

For item 6, above, ONR contract specific representations and certifications are located at

<http://www.onr.navy.mil/en/Contracts-Grants/submit-proposal/contracts-proposal.aspx>

The format requirements for attachments are as follows:

- Paper Size- 8.5 x 11 inch paper
- Margins – 1 inch

- Spacing- single or double spaced
- Font- Times New Roman, 12 point
- Page limit-25 pages maximum (excluding cover page, resumes, bibliographies, and table of contents)

For proposals below the simplified acquisition threshold (less than or equal to \$250K), the Technical Proposal Template and Proposal Checklist documents, and the Cost Proposal Spreadsheet are required. Purchase orders can also contain options, as long as the total amount of the base and all options does not exceed the simplified acquisition threshold.

For proposed subcontracts or inter-organizational transfers over the simplified acquisition threshold, Offerors must provide a separate fully completed Cost Proposal Spreadsheet in support of the proposed costs. This spreadsheet, along with supporting documentation, must be provided either in a sealed envelope with the prime's proposal or via e-mail directly to both the Program Officer and the Business Point of Contact at the same time the prime proposal is submitted. The e-mail should identify the proposal title, the prime Offeror and that the attached proposal is a subcontract, and should include a description of the effort to be performed by the subcontractor.

Offerors should submit an appropriate number of hard copies as discussed with the cognizant Program Officer of their proposal package.

The electronic copy must be submitted in a secure, pdf-compatible format, except for the electronic file of the Cost Proposal Spreadsheet, which must be submitted in Microsoft Excel and the Statement of Work Template, which must be submitted in Microsoft Word format. All attachments to any required proposal documents must be submitted in a secure, pdf-compatible format.

The secure pdf-compatible format is intended to prevent unauthorized editing of the proposal prior to any award. A password should not be required for opening the proposal document and the Government must have the ability to print and copy text, images, and other content. Should an Offeror amend its proposal, the amended proposal should be submitted following the same hard and electronic copy guidance applicable to the original proposal.

Any proposed options that are identified in the Technical Proposal Template or Proposal Checklist documents, but are not fully priced out in the Cost Proposal Spreadsheet, will not be included in any resulting contract, cooperative agreement, or other transaction. If proposing options, they **must** be separately priced and separate spreadsheets should be provided for the base period and each option. In addition to providing summary by period of performance (base and any options), the Contractor is also responsible for providing a breakdown of cost for each task identified in the Statement of Work. The sum of all costs by task worksheets **MUST** equal the total cost summary.

The electronic submission of the Excel spreadsheet should be in a “useable condition” to aid the Government with its evaluation. The term “useable condition” indicates that the spreadsheet should visibly include and separately identify within each appropriate cell any and all inputs, formulas, calculations, etc. The Offeror should not provide “value only spreadsheets” similar to a hard copy.

Fixed Fees on ONR Contracts: The Government Objective is set in accordance with the DFARS 215.404-71. See the below table for range and normal values:

Contract Risk Factor	Contract Type	Assigned Value (Normal range)	Normal Value
Technical (1)		3% - 7% (2)	5%
Management/Cost Control (1)		3% - 7% (2)	5%
Contract Type Risk	Firm Fixed Price	2% - 6% (3)	3% - 5% (4)
Contract Type Risk	Cost Plus Fixed Fee	0% - 1% (2)	0.5%

- (1) Assign a weight (percentage) to each element according to its input to the total performance risk. The total of the two weights equal 100%
- (2) Assign a weighting score relative to the Risk Factor.
- (3) Depends on the specific Contract Type (With/without financing, performance-based payments, and/or progress payments).
- (4) Depends on the specific Contract Type.

Technology Incentive (TI) is rarely utilized at ONR, because the contracts issued by ONR typically are not eligible for TI (See DFARS 215.404-71-2(c) (2)). Any consideration of TI requires strong and convincing justification in the proposal, which are then subject to negotiation and determination of a fair and reasonable fee, within the context of the specific award.

Typically the range of fee is 5% to 7.5% on an ONR awarded contract.

## E. Application Review Information

### 3. Recipient Qualifications

#### b. Contract Proposals:

i. Contracts shall be awarded to responsible prospective contractors only. See FAR 9.104-1 for a listing of the general standards against which an applicant will be assessed to determine responsibility.

Applicants are requested to provide information with proposal submission to assist the Contracting Officer’s evaluation of responsibility



ii. FAPIIS (Federal Awardee Performance and Integrity Information System) will be checked prior to making an award. The web address is:

<https://www.fapiis.gov/fapiis/index.action>

The applicant representing the entity may comment in this system on any information about the entity that a federal government official entered. The information in FAPIIS will be used in making a judgment about the entity's integrity, business ethics, and record of performance under Federal awards that may affect the official's determination that the applicant is qualified to receive an award.

## **F. Federal Award Administration Information**

### **2. Administrative and National Policy Requirements**

c. Applicable to Contracts and Other Transaction Agreements (See Appendix 3).

#### **i. Applies to Contracts (and may be applicable, as revised, to Other Transactions):**

(1) Government Property/Government Furnished Equipment (GFE) and Facilities: Government research facilities and operational military units are available and should be considered as potential government-furnished equipment/facilities. These facilities and resources are of high value and some are in constant demand by multiple programs. It is unlikely that all facilities would be used for any one specific program. The use of these facilities and resources will be negotiated as the program unfolds. Offerors should indicate in the Proposal Checklist, Section II, Blocks 8 and 9, which of these facilities are critical for the project's success.

(2) Use of Arms, Ammunition and Explosives:

#### Safety

The Offeror is required to be in compliance with DoD manual 4145.26-M, *DoD Contractor's Safety Manual for Ammunition and Explosives* if ammunitions and/or explosives are to be utilized under the proposed research effort. (See DFARS 223.370-5 and DFARS 252.223-7002) If ammunitions and/or explosives (A&E) are to be utilized under the proposed research effort, the Government requires a preaward safety survey in accordance with DFARS PGI 223.370-4(C)(iv) entitled *Preaward survey*.

If the Offeror proposes that the Government provide Government-furnished A&E containing any nitrocellulose-based propellants and/or nitrate ester-based materials (such as nitroglycerin) or other similar A&E with a tendency to become chemically unstable over time, then NMCARS 5252.223-9000 will also apply to a resulting contract award. (See NMCARS 5223.370-5)

#### Security

If arms, ammunition or explosives (AA&E) are to be utilized under the proposed research effort, the Government requires a preaward security survey. (See DoD manual 5100.76-M, dated April 17, 2012, *Physical Security of Sensitive Conventional Arms, Ammunition and Explosives*, Enclosure 2, paragraph 2.a.)

If AA&E are to be utilized under the proposed research effort, the Government may require the Contractor to have perimeter fencing around the place of performance in accordance with DoD 5100.76-M dated April 17, 2012, Enclosure 5, paragraph 2.a.

If AA&E are to be utilized under the proposed research effort, the Offeror is required to provide a written copy of the Offeror's AA&E accountability procedures in accordance with DoD 5100.76-M. If the Offeror is required to provide written AA&E accountability procedures, the Offeror should provide the respective procedures with its proposal submission. See DoD 5100.76-M dated April 17, 2012, Enclosure 9, paragraph 9.

(3) System for Award Management (SAM):

FAR 52.204-7 System for Award Management and FAR 52.204-13 System for Award Management Maintenance are incorporated into this BAA, and FAR 52.204-13 will be incorporated in all awards.

(4) Employment Eligibility Verification (E-verify):

As per FAR 22.1802, recipients of FAR-based procurement contracts must enroll as Federal Contractors in E-verify and use E-verify to verify employment eligibility of all employees assigned to the award. All resultant contracts from this solicitation will include FAR 52.222-54, "Employment Eligibility Verification."

(5) Conflicts of Interest:

(a) Disclosure. An offeror shall state in its proposal whether it is aware of any information bearing on the existence of any actual or potential organizational conflict of interest (OCI) as defined in FAR 2.101 and as further discussed in FAR Subpart 9.5 as to itself and any proposed subcontractors, partners, consultants or other affiliates. Offerors performing systems engineering and technical assistance (SETA) for ONR are considered to have an OCI that may not be susceptible to mitigation. See ONR's Statement of Policy on OCIs, which can be found at the following address: <http://www.onr.navy.mil/en/About-ONR/compliance-protections/Organizational-Conflicts-Interest.aspx>

The nondisclosure or misrepresentation of an interest creating an OCI may result in the disqualification of an offeror for award, or if such nondisclosure or misrepresentation is discovered after award, the Government may terminate the contract for default, recommend that the contractor be disqualified from subsequent related contracts, or be subject to such other remedial actions as may be permitted or provided by law (see 18 U.S.C. § 1001 and 31 U.S.C. § 3802(a)(2)). Therefore, offerors should interpret the requirements of this section broadly.

An offeror who does not provide support services to ONR or concludes no actual or potential OCI exists shall include the following statement in its proposal: “I [NAME] as an authorized negotiator on behalf of [NAME OF OFFEROR] certify that **NO** actual or potential organizational conflict of interest (OCI) exists under [BAA NUMBER]. I understand that the failure to disclose the existence of actual or potential OCI shall result in the offeror not being considered for award.”

An offeror who does provide support services to ONR or is aware circumstances exist that may result in the appearance that it may have an unfair competitive advantage shall submit the following with its proposal:

- (i) The name of the entity the offeror, its subcontractors, partners, consultants or affiliates supports.
- (ii) The number of the contract, subcontract, or agreement that creates the actual or potential OCI. If ONR did not award the contract or agreement, provide a copy of the document. If ONR awarded the contract, provide the name of the technical point of contact.
- (iii) A description of the actual or potential OCI. The statement must describe in a concise manner all relevant facts concerning any past, present or currently planned interest (financial, contractual, organizational, or otherwise) relating to the work to be performed hereunder and bearing on whether the offeror has a possible organizational conflict of interest with respect to (1) impartial, technically sound, and unbiased assessments, recommendations, or evaluations, or (2) being given an unfair competitive advantage. If relevant, offerors shall address the personal conflicts of their employees.
- (iv) A Mitigation Plan. Offerors should refer to FAR Subpart 9.5 for policies and procedures for avoiding, neutralizing, or mitigating organizational conflicts of interest.
- (v) A concluding statement as follows: “I [NAME] as an authorized negotiator on behalf of [NAME OF OFFEROR] certify that I have, to the best of my knowledge and belief, disclosed all actual or potential organizational conflicts of interest (OCI) under [BAA NUMBER]. I understand that the failure to disclose the existence of an actual or potential OCI shall result in the offeror not being considered for award.”

(b) OCI Mitigation Plan Contents. At a minimum, a Mitigation Plan shall:

- (i) Provide organizational charts showing the offeror’s (and, as appropriate, those of its subcontractors, partners, consultants, and affiliates) structure as it relates to performance under the contract awarded under this BAA and all contracts and agreements relevant to the OCI, highlighting those elements that create the actual or apparent OCI.
- (ii) Demonstrate how the elements that create the actual or apparent OCI will be isolated from the resources that will perform work under the contract awarded under this BAA.

(iii) Provide information showing whether the organizational elements that will perform work under the contract awarded under this BAA will be geographically or physically separated from the elements that create the actual or apparent OCI.

(iv) For each contract or agreement relevant to the OCI, describe the process for reassigning personnel, including those belonging to subcontractors, partners, consultants, and affiliates, from one organization to another. Include restrictions that apply.

(v) For each contract or agreement relevant to the OCI, describe any controls, including nondisclosure agreements, that are exercised over the future employment of departing employees as it relates to the OCI.

(vi) For each contract or agreement relevant to the OCI, describe any OCI training the employees are offered or required to attend, along with the timing (before or after starting work on a government contract), frequency, length, and content of such training.

(vii) Provide evidence of facts and circumstances that the offeror asserts mitigate or address the concerns related to the actual or potential OCI.

(c) Review. The Contracting Officer will review an offeror's certifications, statements, and OCI Mitigation Plan (if applicable) submitted and may require additional relevant information from an offeror. All such information and any other relevant information will be used by the Contracting Officer to determine whether an award to the offeror may create an OCI. If found to exist, the Government may: (1) impose appropriate conditions which avoid such conflict, (2) disqualify the offeror, (3) determine that it is otherwise in the best interest of the Government to award a contract to the offeror and include appropriate conditions mitigating such conflict in the award, or (4) seek a waiver. If the Contracting Officer determines that an actual or significant potential conflict of interest exists that cannot reasonably be avoided, neutralized or mitigated, the offeror will be ineligible for award. If accepted, the Mitigation Plan shall become part of the contract.

An offeror who has refused to disclose the information or make the certification required by this BAA concerning an actual or potential OCI shall be disqualified from consideration for award.

6. FAR / DFARS Provisions/Clauses: For purposes of illustration and not of limitation, the following provisions and clauses may be applicable to ONR contracts:

#	Provision/Clause
52.204-7	System for Award Management
52.204-13 System	System for Award Management Maintenance
52.215-16	Facilities Capital Cost of Money
52.215-22	Limitations on Pass Through Charges - Identification of Subcontract Effort
52.216-1	Type of Contract
52.216-27	Single or Multiple
52.217-4	Evaluation of Options Exercised at time of Contract Award

52.217-5	Evaluation of Options
52.217-9	Option to Extend the term of the Contract
52.222-24	Preaward On-Site Equal Opportunity Compliance Evaluation (Applies if exceeds \$10M)
52.226-2	Historically Black College or University and Minority Institution Representation
52.230-7	Proposal Disclosure - Cost Accounting Practice Changes
52.232-15	Progress Payments not included
52.233-2	Service of Protest
52.252-1	Solicitation Provisions Incorporated by Reference
52.252-3	Alterations in
52.252-5	Authorized Deviations in Provisions
252.203-7005	Representation Relating to Compensation of Former DoD Officials
252.204-7004	Alternate A, System for Award Management
252.204-7008	Compliance with Safeguarding Covered Defense Information Controls (DEC 2015)
252.204-7012	Safeguarding Covered Defense Information and Cyber Incident Reporting (DEC 2015)
252.215-7003	Requirements for Submission of Data Other than Certified Cost or Pricing Data - Canadian Commercial Corporation
252.219-7000	Advancing Small Business Growth
252.219-7003 (DEVIATION 216-O0009) ALT II	Small Business Subcontracting Plan (DoD CONTRACTS) – BASIC

(a) Combating Trafficking in Persons: FAR Clause 52.222-50 will be incorporated in all awards.

(b) Certification Regarding Trafficking in Persons Compliance Plan:

Prior to award of a contract, for the portion of the contract that is for supplies, other than commercially available off-the-shelf items, to be acquired outside the United States, or services to be performed outside the United States, and which has an estimated value that exceeds \$500,000, the contractor shall submit the certificate as specified in paragraph (c) of 52.222-56, Certification Regarding Trafficking in Persons Compliance Plan

(c) Updates of Information regarding Responsibility Matters: FAR clause 52.209-9, Updates of Publicly Available Information Regarding Responsibility Matter, will be included in all contracts valued at \$550,000 where the contractor has current active Federal contracts and grants with total value greater than \$10,000,000.

(7) Production and Testing of Prototypes

ONR may modify a contract awarded under this BAA to add a contract line item or contract option for the provision of advanced component development or for the delivery of initial or additional prototype units. However, such a contract addition shall be subject to the limitations contained in Section 819 of the National Defense Authorization Act (NDAA) for Fiscal Year 2010, as modified in Section 811 of the NDAA for Fiscal Year 2015.